

1. During which phase of the software development life cycle should an IS auditor be consulted to recommend security controls?

- Requirements definition
- implementation of software
- Design and development
- Final acceptance testing

2. Which of the following is MOST likely to be a project deliverable of an Agile software development methodology?

- Extensive project documentation
- Rapidly created working prototypes
- Automated software programming routines
- Strictly managed software requirements baselines

3. An organization is enhancing the security of a client-facing web application following a proposal to acquire personal information for a business purpose. Which of the following is MOST important to review before implementing this initiative?

- Encryption capabilities
- Regulatory compliance requirements
- Data ownership assignments
- Customer notification procedures

4. A company requires that all program change requests (PCRs) be approved and all modifications be automatically logged. Which of the following IS audit procedures will BEST determine whether unauthorized changes have been made to production programs?

- Review a sample of PCRs for proper approval throughout the program change process
- Use source code comparison software to determine whether any changes have been made to a sample of programs since the last audit date
- Trace a sample of program changes from the log to completed PCR forms
- Trace a sample of complete PCR forms to the log of all program changes

5. Which of the following would be of GREATEST concern to an IS auditor reviewing DevSecOps practices at a large organization?

- Production deployment configuration errors have occurred repeatedly over the last six months
- Detailed upfront requirements are not always completed prior to starting development
- There is insufficient development capacity to meet business timelines
- The encryption algorithm used is not quantum safe

6. An external audit firm was engaged to perform a validation and verification review for a systems implementation project. The IS auditor identifies that regression testing is not part of the project plan and was not performed by the systems implementation team. According to the team, the parallel testing being performed is sufficient making regression testing unnecessary. What should be the auditor's NEXT step?

- Evaluate the extent of the parallel testing being performed

Conclude that parallel testing is sufficient and regression testing is not needed
Recommend regression testing be conducted by the systems implementation team.

Recommend integration and stress testing be conducted by the systems implementation team

7. A bank has developed an automated credit decision engine for loan applications based on defined rules. Which of the following is the BEST way to gain assurance for the design and operating effectiveness of the rules?
Perform a walk-through of system function with an end user in the live environment.

Inspect the technical design documentation and manual.

Conduct scenario-based testing in a testing environment

Review the change testing report summary and confirm its approval

8. concerned with the:

metrics used to evaluate key operating segments

adequacy of reporting to senior management

lack of version control over process documentation

adequacy of the controls in the redesigned process.

9. Which of the following is the PRIMARY objective of performing quality assurance (QA) in a system development process?

To help determine high-level requirements for the new system

To ensure the developed system integrates well with another system

To ensure the developed system meets business requirements

To ensure that expected benefits have been realized

10. Which of the following is MOST helpful for evaluating benefits realized by IT projects?

Benchmarking IT project management practices with industry peers

Comparing planned versus actual return on investment (ROI)

Evaluating compliance with key security controls

Reviewing system development life cycle (SDLC) processes

11. Which of the following is the MOST important task of an IS auditor during an application post-implementation review?

Identify project delays.

Conduct a business impact analysis (BIA).

Verify user access controls.

Perform penetration testing.

12. An IS auditor is reviewing an organization's system development life cycle (SDLC). Which of the following MUST be included in the review?

Validation that system development processes adhere to quality standards

Definition of quality attributes to be associated with the system

Ownership of the system quality management plan

Utilization of standards in the system development processes and procedures

13. Which of the following methods will BEST reduce the risk associated with the transition to a new system using technologies that are not compatible with the old system?

Modular changeover

Pilot operation

Phased operation

Parallel changeover

13. A startup organization is trying to minimize software project costs due to budget constraints. Which of the following is the BEST quality management approach in this situation?

Deploy a process for performing root cause analysis and save the necessary quality management budget for the future.

Deploy quality management continuously throughout the project and fix defects during testing.

Deploy quality management only at the start of the project and outsource to a cost-efficient third-party service provider.

Deploy quality management during the development stage to review all changes before moving them to production

14. An IS auditor is planning an implementation review of a new accounting system. Which of the following is MOST important to include in this review?

Data conversion results

System security training

Database configurations

Benefits realization

15. Which of the following is the BEST indication that a software development project is on track to meet its completion deadline?

Project plan due dates have been documented for each phase of the software development life cycle.

Technical specifications and development requirements have been agreed upon and formally recorded.

The planned software go-live date has been communicated in advance to end users and stakeholders.

Issues identified during user acceptance testing (UAT) have been addressed prior to the original implementation date.

16. Which of the following is the PRIMARY benefit of benchmarking an organization's software development life cycle practices against a capability maturity model?

Reliable products are guaranteed.

Security requirements are added to software development processes.

Repeatable software development procedures are established.

Programmers' efficiency is improved.

17. Which of the following is the BEST method to help ensure that security requirements are considered throughout the life cycle of an agile software development project?

Reverting to traditional waterfall software development life cycle (SDLC) techniques

Including project team members who can provide security expertise

Documenting security control requirements and obtaining internal audit sign off

Requiring the project to go through accreditation before release into production

18. An organization has introduced a capability maturity model to the system development life cycle (SDLC) to measure improvements. Which of the following is the BEST indication of successful process improvement?

Evaluation results exceed process maturity benchmarks against competitors.

Process maturity reaches the highest state of process optimization.

Evaluation results align with defined business goals.

Processes demonstrate the mitigation of inherent business risk.

19. Which of the following is the MOST important responsibility of user departments associated with program changes?

Analyzing change requests

Approving changes before implementation

Updating documentation to reflect latest changes

Providing unit test data

20. Which of the following should be used as the PRIMARY basis for prioritizing IT projects and initiatives?

Expected business value

Level of risk reduction

Available resources

Estimated cost and time

21. Which of the following is MOST important for an IS auditor to assess during a post-implementation review of a newly modified IT application developed in-house?

Sufficiency of implemented controls

Rollback plans for changes

Resource management plan

Updates required for end user manuals

22. Which of the following is MOST important for an IS auditor to verify when conducting a review of an ongoing software development project?

The project team regularly consults the information security team.

Project progress reports are delivered in a timely manner to management.

The project manager has correctly identified significant project risks.

The project is on track to achieve the expected objectives.

23. An external audit firm was engaged to perform a validation and verification review for a systems implementation project. The IS auditor identifies that regression testing is not part of the project plan and was not performed by the systems implementation team. According to the team, the parallel testing being performed is sufficient, making regression testing unnecessary. What should be the auditor's NEXT step?

Evaluate the extent of the parallel testing being performed.

Recommend integration and stress testing be conducted by the systems implementation team.

Conclude that parallel testing is sufficient and regression testing is not needed.

Recommend regression testing be conducted by the systems implementation team.

24. documentation for a client relationship management (CRM) system migration project?

A single implementation phase is planned and the legacy system will be immediately decommissioned.

Employees are concerned that data representation in the new system is completely different from the old system.

The technical migration is planned for a holiday weekend and end users may not be available.

Five weeks prior to the target date, there are still numerous defects in the printing functionality.

25. A bank has decided to use a big bang approach to migrate its customer transaction data from the existing core banking platform onto a newly implemented system. Which of the following is the MOST critical consideration to include in the data migration plan?

Performing a dress rehearsal of the data migration before the actual migration takes place

Establishing clear responsibilities for monitoring and approving the migration

Ensuring the capability to reverse the migration before attempting the production cutover

Obtaining customer consent for the migration of the data

26. Which of the following tests is MOST likely to detect an error in one subroutine resulting from a recent change in another subroutine?

Stress testing

Regression testing

Black-box testing

User acceptance testing (UAT)

27. A finance department has a two-year project to upgrade the enterprise resource planning (ERP) system hosting the general ledger. In year one, the system version upgrade will be applied, and in year two, business processes will be updated to implement new system functionality. Which of the following should be the PRIMARY focus of an IS auditor reviewing the second year of the implementation?

Sociability testing
User acceptance testing (UAT)
Data migration
Initial user access provisioning

28. An IS auditor is providing input to an RFP to acquire a financial application system. Which of the following is MOST important for the auditor to recommend?
Vendor employee background checks should be conducted regularly
Potential suppliers should have experience in the relevant area
The application should meet the organization's requirements
Audit trails should be included in the design

29. Which of the following recommendations would BEST prevent the implementation of IT projects without collaborating with the business?
Prioritize projects based on business and IT resource availability
Periodically review the projects' return on investment (ROI)
Partner with the business units to evaluate IT projects
Review the projects to identify similarities and eliminate duplication

30. Which of the following testing methods is MOST appropriate for assessing whether system integrity has been maintained after changes have been made?
Acceptance testing
Integration testing
Regression testing
Unit testing

31. Management has learned the implementation of a new IT system will not be completed on time and has requested an audit. Which of the following audit findings should be of GREATEST concern?
Tasks defined on the critical path do not have resources allocated.
The project manager lacks formal certification.
The actual start times of some activities were later than originally scheduled.
Milestones have not been defined for all project products.

1. What should be the PRIMARY focus during a review of a business process improvement project?
 - a. The cost of new controls
 - b. Business project plan
 - c. Continuous monitoring: plans
 - d. Business impact
2. A white box testing method is applicable with which of the following testing processes?
 - a. Sociability testing
 - b. Parallel testing
 - c. Integration testing
 - d. User acceptance testing (UAT)

3. The PRIMARY benefit of automating application testing is to
 - a. provide more flexibility
 - b. reduce the time to review code
 - c. provide test consistency
 - d. replace all manual test processes
4. When developing customer-facing IT applications, in which stage of the system development life cycle (SDLC) is it MOST beneficial to consider data privacy principles
 - a. Requirements definition
 - b. Systems design and architecture
 - c. Software selection and acquisition
 - d. User acceptance testing (UAT)
5. During which process is regression testing MOST commonly used?
 - a. Unit testing
 - b. System modification
 - c. Stress testing
 - d. Program development
6. Of the following, who is accountable for ensuring the representation of major stakeholders involved in a project?
 - a. Change control board
 - b. Steering committee
 - c. Project manager
 - d. Project management office (PMO)
7. Which of the following should an IS auditor be MOST concerned with during a post-implementation review?
 - a. The system contains several minor defects
 - b. The system was over budget by 15%
 - c. The system does not have a maintenance plan
 - d. The system deployment was delayed by three weeks
8. An IS auditor finds that a recently deployed application has a number of developers with inappropriate update access left over from the testing environment Which of the following would have BEST prevented the update access from being migrated?
 - a. Holding the application owner accountable for application security
 - b. Including a step within the system development life cycle (SDLC) to clean up access prior to go-live
 - c. Establishing a role-based matrix for provisioning users
 - d. Re-assigning user access rights in the quality assurance (QA) environment
9. A post-implementation review was conducted by issuing a survey to users Which of the following should be of GREATEST concern to an IS auditor?
 - a. The survey results were not presented in detail to management
 - b. The survey questions did not address the scope of the business case

- c. The survey was issued to employees a month after implementation
 - d. The survey form template did not allow additional feedback to be provided
10. A project team has decided to switch to an agile approach to develop a replacement for an existing business application. Which of the following should an IS auditor do FIRST to ensure the effectiveness of the project audit?
- a. Interview business process owners to compile a list of business requirements
 - b. Compare the agile process with previous methodology.
 - c. Understand the specific agile methodology that will be followed
 - d. Identify and assess existing agile process controls
11. Which of the following is the MAIN risk associated with adding a new system functionality during the development phase without following a project change management process?
- a. The project may go over budget
 - b. The added functionality has not been documented
 - c. The new functionality may not meet requirements
 - d. The project may fail to meet the established deadline
12. Which of the following is MOST important for an IS auditor to evaluate when auditing proposed investments for the acquisition of an enterprise-wide application?
- a. Whether management has approved a business case for the application
 - b. Whether there are multiple business units interested in the application
 - c. Whether business units have approved user acceptance testing (UAT) for the application
 - d. Whether there are independent case studies regarding use of the application
13. An organization has established three IT processing environments: development, test, and production. The MAJOR reason for separating the development and test environments is to
- a. perform testing in a stable environment
 - b. limit the users' access rights to the development environment
 - c. protect the programs under development from unauthorized testing
 - d. obtain segregation of duties between IT staff and end users
14. Due to staff limitations, the same individual is responsible for both developing application changes and migrating those changes to production. Which of the following should the IS auditor recommend as the BEST compensating control?
- a. Perform quality assurance (QA) testing
 - b. Implement secure coding training
 - c. Review audit logs
 - d. Implement independent code review

15. An IS auditor is reviewing a data conversion project. Which of the following is the auditor's BEST recommendation prior to go-live?
- Establish a configuration baseline
 - Review test procedures and scenarios
 - Conduct a mock conversion test
 - Automate the test scripts
16. Following a merger, a review of an international organization determines the IT steering committee's decisions do not extend to regional offices as required in the consolidated IT operating model. Which of the following is the IS auditor's BEST recommendation?
- Create regional IT steering committees
 - Update the IT steering committee's formal charter
 - Create regional centers of excellence
 - Engage an IT governance consultant
17. Which of the following is MOST important for an IS auditor to look for in a project feasibility study?
- An assessment of whether requirements will be fully met
 - An assessment of whether the expected benefits can be achieved
 - An assessment indicating security controls will operate effectively
 - An assessment indicating the benefits will exceed the investment
18. Which of the following should be the FIRST step in a data migration project?
- Understanding the new system's data structure
 - Completing data cleanup in the current database to eliminate inconsistencies
 - Reviewing decisions on how business processes should be conducted in the new system
 - Creating data conversion scripts
19. During a project assessment, an IS auditor finds that business owners have been removed from the project initiation phase. Which of the following should be the auditor's GREATEST concern with this situation?
- Unrealistic milestones
 - Unclear benefits
 - Incomplete requirements
 - Inadequate deliverables
20. During a project audit, an IS auditor notes that project reporting does not accurately reflect current progress. Which of the following is the GREATEST resulting impact?
- The project reporting to the board of directors will be incomplete
 - The project will not withstand a quality assurance (QA) review
 - The project manager will have to be replaced
 - The project steering committee cannot provide effective governance
21. A new system development project is running late against a critical

implementation deadline Which of the following is the MOST important activity?

- a. Perform a pre-implementation audit
- b. Perform user acceptance testing (UAT)
- c. Document last-minute enhancements
- d. Ensure that code has been reviewed

22. During which IT project phase is it MOST appropriate to conduct a benefits realization analysis?

- a. Post-implementation review phase
- b. Final Implementation phase
- c. Design review phase
- d. User acceptance testing (UAT) phase

23. Which of the following would be of GREATEST concern to an IS auditor reviewing an IT-related customer service project?

- a. The organization will be the first to offer the proposed services
- b. Executing the project will require additional investments.
- c. The project risk exceeds the organization's risk appetite
- d. Expected business value is expressed in qualitative terms

24. When initiating an IT project, which of the following should be completed FIRST?

- a. IT resource plan
- b. Feasibility Study
- c. Request for proposal (RFP)
- d. Milestone plan

25. When reviewing the acquisition process for a new application, which of the following is MOST important to ensure was included in the request for proposal (RFP) process?

- a. System development methodology
- b. Vendor key performance indicators (KPIs)
- c. User acceptance testing (UAT) plan
- d. Vendor financial stability

26. Which of the following would be the MOST useful metric for senior management to consider when reviewing the current project portfolio?

- a. Annualized loss expectancy (ALE) of the portfolio
- b. Expected return divided by the projected cost
- c. Total cost of each project
- d. Cost of projects divided by total IT cost

27. Which of the following is MOST appropriate for testing patches for business-critical applications?

- a. Regression testing
- b. User acceptance testing (UAT)
- c. Integrated test facility (ITF)
- d. Mapping software

28. Which of the following provides the BEST evidence that system requirements are met when evaluating a project before implementation?
- a. Sign-off from senior management
 - b. Integration testing results
 - c. Regression testing results
 - d. User acceptance testing (UAT) results
29. Which of the following criteria is MOST important for the successful delivery of benefits from an IT project?
- a. Ensuring that IT project managers have sign-off authority on the business case
 - b. Quantifying the size of the software development effort required by the project
 - c. Involving key stakeholders during the development and execution phases of the project
 - d. Assessing the impact of changes to individuals and business units within the organization
30. Which of the following would be of GREATEST concern to an IS auditor reviewing the feasibility study for a new application system?
- a. Conditions under which the system will operate are unclear.
 - b. System requirements and expectations have not been clarified.
 - c. The business case does not include well-defined strategic benefits.
 - d. Security requirements have not been defined.
31. An IS auditor is evaluating the IT business planning process. Which of the following should be of GREATEST concern to the auditor?
- a. Business impact analysis (BIA) results are not included in the business case.
 - b. Business case development is completed before strategic initiatives are finalized.
 - c. End users are not involved in business case development.
 - d. Several business cases are found to be based on a misdiagnosed problem.
32. An IS auditor is reviewing an organization's plan to migrate a legacy database platform to a cloud-based database service. Which of the following steps is MOST important during the migration to preserve data integrity?
- a. Ensure data in the legacy platform has been normalized.
 - b. Implement new access controls and user authentication on the cloud.
 - c. Run the application in parallel for a determined period of time.
 - d. Establish data validation checks during the migration process.
33. Which of the following is MOST likely to be a project deliverable of an agile software development methodology?
- a. Automated software programming routines
 - b. Extensive project documentation
 - c. Rapidly created working prototypes
 - d. Strictly managed software requirements baselines

34. Which of the following is the PRIMARY reason to involve IS auditors in the software acquisition process?
- a. To help ensure hardware and operating system requirements are considered
 - b. To help ensure proposed contracts and service level agreements (SLAs) address key elements
 - c. To help ensure adequate controls to address common threats and risks are considered
 - d. To help ensure the project management process complies with policies and procedures
35. Which of the following is MOST important for an IS auditor to verify when evaluating an organization's data conversion and infrastructure migration plan?
- a. Strategic goals have been considered
 - b. A rollback plan is included
 - c. A migration steering committee has been formed
 - d. A code check review is included
36. Which of the following practices is MOST helpful in eliminating potential bias during the vendor proposal review process?
- a. A procurement professional is the point of contact for all vendors responding with proposals
 - b. The services of an internal or external auditor are available when vendor proposals are reviewed
 - c. Internal software development teams are not permitted to provide proposals to the project
 - d. The project sponsor is available to all vendors to explain proposal requirements
37. Which of the following practices is MOST helpful in preventing incidents as a result of implemented software changes?
- a. Evidence of successful changes are documented
 - b. Standardized procedures are used for prompt handling of changes
 - c. Proposed changes are tested by stakeholders prior to implementation
 - d. Personnel obtain senior management approval prior to implementing changes
38. An organization is establishing a steering committee for the implementation of a new enterprise resource planning (ERP) system that uses Agile project management methodology. What is the MOST important criterion for the makeup of this committee?
- a. Senior management representation
 - b. ERP implementation experience
 - c. Agile project management experience
 - d. Ability to meet the time commitment required
39. Which of the following is the MOST effective audit approach to verify

whether the projected benefits described in an IT project's business case are realistic?

- a. Review of the cost-benefit analysis performed by management
- b. Review of mitigation plans against business risk
- c. Comparison against industry business practices
- d. Interviews with business stakeholders

40. Which of the following is MOST important for an IS auditor to review when evaluating a business case for increasing the capacity of a critical application?

- a. Accuracy of projected return on investment (ROI) calculations
- b. Historical and future volumes of processed transactions
- c. Sufficient budget allocation for acquiring new hardware and software
- d. Functional and technical specifications

41. Which of the following presents the GREATEST risk to the successful implementation of an IT project'?

- a. The budget is not formally approved by the project sponsor
- b. Limited resources are available.
- c. Business requirements are not defined
- d. The project sponsor does not attend steering committee meetings.

42. To enable a fair and equitable selection process, a request for proposal (RFP) should include a description of:

- a. Details of existing IT infrastructure.
- b. budgeted costs for the solution.
- c. the vendor's market share
- d. evaluation criteria and methodology.

43. Shortly after a system was deployed into production, it was identified that some key scenarios were not tested during user acceptance testing (UAT) Which of the following is the GREATEST concern with this situation?

- a. System functions may not meet business requirements.
- b. The system may have gone into production with defects
- c. Extra funding may be required to complete the testing.
- d. Significant security risks may not have been assessed.

44. During a change management audit, an auditor identifies that some changes were implemented in the production environment without user acceptance testing (UAT). Which of the following is the auditor's BEST course of action?

- a. Perform post-implementation testing to verify that the changes do not impact financial data.
- b. Recommend the IT manager roll back the changes and continue with the audit.
- c. Document the finding and explain the risk of implementing changes without appropriate testing.
- d. Postpone the audit until adequate LIAT can be performed

45. Which of the following practices is MOST helpful in preventing new incidents from occurring as a result of a recent patch installation?
- a. Risk analyses are performed to justify the installation of security patches.
 - b. Security patches are tested prior to installation on the organization's equipment.
 - c. Tools are used to assess patch updates prior to installation of security patches.
 - d. Security patches require senior management approval prior to installation.
46. What should be an IS auditor's MOST important consideration when assessing whether an organization's IT project portfolio is appropriately prioritized?
- a. Business impact analysis (BIA)
 - b. Cost-benefit analysis results
 - c. The organization's business plan
 - d. The organization's IT budget
47. Which of the following is MOST important for an organization to include in a software escrow agreement when outsourcing software development to a third party?
- a. The escrow agent repository is to be securely protected against vendor access.
 - b. The escrow agent repository is to be subject to periodic audits by the organization.
 - c. The escrow agent repository is to be held in the organization's own country.
 - d. The escrow agent repository is to be updated as the software product evolves.
48. Which of the following is the BEST recommendation to drive accountability for achieving the desired outcomes specified in a benefits realization plan for an IT project?
- a. Ensure that the project manager has formal authority for managing the benefits realization plan.
 - b. Assign responsibilities, measures, and timelines for each identified benefit within the plan.
 - c. Document the dependencies between the project and other projects within the same program.
 - d. Ensure that IT takes ownership for the delivery and tracking of all aspects of the benefits realization plan.
49. What would be an IS auditor's GREATEST concern when conducting an internal audit of a project to implement a customer relationship management (CRM) system?
- a. Additional budget required for project implementation
 - b. Lack of stakeholder agreement on business requirements
 - c. Lack of a post-implementation review
 - d. Extended project scope beyond the design phase

50. An IS auditor is reviewing a project that involves creating a secure mobile app for claims processing. As part of a security-in-development model for the program, threat modeling should begin during which project phase?

- a. Requirements definition
- b. Testing
- c. Architectural review
- d. Coding

51. Which of the following should be of GREATEST concern to an IS auditor when assessing the effectiveness of project risk management processes?

- a. The risk register is reviewed on a monthly basis.
- b. Some risks in the risk register were found to be rated incorrectly.
- c. The risk register is not maintained under version control.
- d. Risk owners have not been identified in the risk register.

To ensure the effectiveness of project risk management, when should the project risk register be reviewed and updated?

- a. During the planning phase of the project
- b. At the end of each phase of the project
- c. Throughout the lifetime of the project
- d. During the design phase of the project

The waterfall life cycle model of software development is BEST suited for which of the following situations?

- a. The project will involve the use of new technology.
- b. The project is subject to time pressures
- c. The project requirements are well understood
- d. The project intends to apply an object-oriented design approach

An IS auditor is reviewing documentation from a change that was applied to an application. Which of the following findings would be the GREATEST concern?

- a. Testing documentation is kept in hard copy format.
- b. Testing documentation does not show manager approval.
- c. Testing documentation is approved prior to completion of user acceptance testing (UAT).
- d. Testing documentation is dated three weeks before the system implementation date.

Which of the following would BEST reduce the operational risks associated with the potential for a third-party software vendor to go out of business?

- a. Vendor software support agreements
- b. Evidence of the vendor's financial stability
- c. Software escrow agreements
- d. Service level agreements (SLAs) in the contract

An IS auditor finds that the cost of developing an application is now projected to significantly exceed the budget. Which of the following is the GREATEST risk to communicate to senior management?

- a. Increased staff turnover
- b. Project abandonment

- c. Inability to achieve expected benefits
- d. Noncompliance with project methodology

An IS auditor reviewing the system development life cycle (SDLC) finds there is no requirement for business cases. Which of the following should be of GREATEST concern to the organization?

- a. Business resources have not been optimally assigned.
- b. Business impacts of projects are not adequately analyzed
- c. Vendor selection criteria are not sufficiently evaluated
- d. Project costs exceed established budgets.

Management has requested a post-implementation review of a newly implemented purchasing package to determine the extent that business requirements are being met. Which of the following is MOST likely to be assessed?

- a. Results of live processing
- b. Acceptance testing results
- c. Implementation methodology
- d. Purchasing guidelines and policies

Following an application update, an IS auditor has identified performance degradation potentially resulting from a code defect. What type of testing is the BEST way to help prevent this issue in the future?

- a. Regression testing
- b. Capacity testing
- c. Resiliency testing
- d. Performance testing

Which of the following is MOST helpful to a project manager in mitigating risk associated with frequent changes in project requirements?

- a. Performing mid-term project reviews
- b. Monitoring changes in risk factors
- c. Implementing formal reviews of changes
- d. Conducting post-implementation reviews

Which of the following is the MOST important objective of a vendor selection review?

- a. To ensure the vendor's security policies have been audited
- b. To ensure the vendor proposal fulfills the business requirements
- c. To ensure the vendor's data center is located in the same legal jurisdiction
- d. To ensure the vendor source code library will be provided

Which of the following provides the BEST estimate of the complexity associated with a software development project for a web-based application?

- a. Function point analysis
- b. Lines of code
- c. Value adjustment factor
- d. Constructive cost model

During a pre-implementation review, an IS auditor notes that some scenarios have not been tested. Management has indicated that the project is critical and cannot be postponed. Which of the following is the auditor's BEST course of action?

- a. Help management complete remaining scenario testing before implementation.
- b. Determine whether the tested scenarios covered the most significant project risks.
- c. Perform remaining scenario testing in the production environment post implementation.
- d. Recommend project implementation be postponed until all scenarios have been tested.

During the audit of an enterprise resource planning (ERP) system, an IS auditor found an application patch was applied to the production environment. It is MOST important for the IS auditor to verify approval from the:

- a. information security officer
- b. system administrator.
- c. information asset owner.
- d. project manager

At which stage of the system development life cycle (SDLC) is it MOST beneficial to perform a risk assessment?

- a. Prior to system development
- b. During business case development
- c. At each stage of the life cycle
- d. Prior to system deployment

Which of the following roles is PRIMARILY responsible for mitigating the risk of benefits not being realized in an IT project?

- a. Project sponsor
- b. Chief risk officer (CRO)
- c. Quality assurance (QA) manager
- d. Project manager

Which of the following is MOST important for an IS auditor to identify in a project business case?

- a. A comprehensive listing of business requirements
- b. An assessment of expected benefits versus projected cost
- c. Security controls to be implemented during the project
- d. Selection criteria for vendors involved in the project

Which of the following should an IS auditor do FIRST when determining whether unauthorized changes have been made to production code?

- a. Examine the change control system records and trace them forward to object code files.
- b. Review change-approved designations established within the change control system
- c. Review access control permissions operating within the production program libraries.
- d. Examine object code to find instances of changes and trace them

back to change control records.

During the implementation of an enterprise resource planning (ERP) system, an IS auditor is reviewing the results of user acceptance testing (UAT). Which of the following should be the auditor's PRIMARY focus?

- a. Determine if application interfaces have been satisfactorily tested.
- b. Verify that system integration testing was performed.
- c. Determine if the business process owner has signed off on the results.
- d. Confirm that all errors have been communicated to end users.

Which type of testing is BEST for evaluating how well an application functions with other IT systems?

- a. Final acceptance testing
- b. Unit testing
- c. System testing
- d. Integration testing

Which of the following would BEST help to ensure that potential security issues are considered by the development team as part of incremental changes to Agile-developed software?

- a. Include a mandatory step to analyze the security impact when making changes
- b. Assign the security risk analysis to a specially trained member of the project management office
- c. Deploy changes in a controlled environment and observe for security defects
- d. Mandate that the change analyses are documented in a standard format

Which of the following should be the GREATEST concern for an IS auditor performing a post-implementation review for a major system upgrade?

- a. Changes are promoted to production by the development group.
- b. Object code can be accessed by the development group.
- c. Developers have access to the testing environment.
- d. Change approvals are not formally documented.

When is the MOST appropriate time to establish metrics for assessing the effectiveness of an outsourced IT project?

- a. During the configuration phase
- b. During the acquisition phase
- c. During the initiation phase
- d. During the testing phase

An organization is ready to implement a new IT solution consisting of multiple modules. The last module updates the processed data into the database. Which of the following findings should be of MOST concern to the IS auditor?

- a. Lack of a data dictionary
- b. Absence of a formal change approval process
- c. Use of weak encryption

- d. Lack of input validation

Which of the following is MOST important for an IS auditor to review when evaluating a project investment decision-making process?

- a. Business risk assessment
- b. Project budget
- c. Business impact analysis (BIA)
- d. Cost-benefit analysis